



AP33635 (067668.0104)

4/3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Kravitz
Serial No. : 10/015201 Examiner: To be assigned
Filed : October 19, 2001 Group Art Unit: To be assigned
For : SYSTEM AND METHOD FOR MANAGING TRUST
BETWEEN CLIENTS AND SERVERS

INFORMATION DISCLOSURE STATEMENT

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to:
Assistant Commissioner for Patents, Washington, D.C. 20231

January 22, 2002

Date of Deposit

Andrea Dorigo

Attorney Name

[Signature]
Signature

47,532

PTO Registration No.

January 22, 2002

Date of Signature

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicants, by their attorneys, hereby bring the following documents to the attention of the Examiner in connection with the examination of the above-captioned patent application:

S. W. Smith, E. R. Palmer, and S. Weingart, "*Using a High-Performance, Programmable Secure Coprocessor*," February 23-27, 1998, Proceedings, Second International Conference on Financial Cryptography, Anguilla, British West Indies, Springer-Verlag LNCS.

K. M. Martin, B. Preneel, C. J. Mitchell, H. J. Hitz, G. Horn, A. Poliakova, and P. Howard, "*Secure Billing for Mobile Information Services in UMTS*," Proceedings of Intelligence and Services in Networks, Antwerp, Belgium (May 25-28, 1998).

M. O. Rabin, "*Digitalized Signatures and Public-key Functions as Intractable as Factorization*," Massachusetts Institute of Technology Laboratory for Computer Science Technical Report 212 (1979).

S. W. Smith, "*Secure coprocessing applications and research issues*," Los Alamos Unclassified Release LA-UR-96-2805 (August 1996).

U. G. Wilhelm, S. Staamann, and L. Buttyan, "*On the Problem of Trust in Mobile Agent Systems*," Proceedings of Network and Distributed Systems Security, San Diego, California (March 11-13, 1998).

B. Yee, "*Using Secure Coprocessors*," Carnegie Mellon University Report CMU-CS-94-149 (May 1994).

R. Mori and M. Kawahara, "*Superdistribution: the Concept and the Architecture*," The Transactions of the IEICE, vol. E73, no. 7, Special Issue on Cryptography and Information Security (July 1990). Full on-line text published on-line at: <http://www.virtualschool.edu/mon/ElectronicProperty/MoriSuperdist.html>.

M. Blum, W. Evans, P. Gemmell, S. Kannan, and M. Naor, "*Checking the Correctness of Memories*," Algorithmica, 12(2/3), pp. 225-244 (1994).

B. Askwith, M. Merabti, Q. Shi and K. Whiteley, "*Achieving User Privacy in Mobile Networks*," Proceedings of the 13th Annual Computer Security Applications Conference, San Diego, California (December 8-12, 1997). Full text available to Insitute of Electrical and Electronic Engineers, Inc. Computer Society members with web account, or to others through purchase of individual article, at: <http://china.computer.org/proceedings/acsac/8274/8274toc.htm>.

C. H. Lim and P. J. Lee, "*A Key Recovery Attack on Discrete Log-based Schemes Using a Prime Order Subgroup*," August 17-21, 1997, Advances in Cryptology: Crypto '97, Santa Barbara, California, B.S. Kaliski, Jr., Ed., Lecture Notes in Computer Science 1294, pp. 249-263, Springer-Verlag.

J. Horn and B. Preneel, "*Authentication and Payment in Future Mobile Systems*," Proceedings of European Symposium On Research In Computer Security, Louvain-La-Neuve, Belgium (September 16-18, 1998).

D. Chaum and T. P. Pedersen, *"Wallet Databases with Observers,"* August 16-20, 1992, Advances in Cryptology: Crypto '92, Santa Barbara, California, E.F. Brickell, Ed., Lecture Notes in Computer Science 740, pp. 89-105, Springer-Verlag.

"The Digital Dilemma: Intellectual Property in the Information Age," Committee on Intellectual Property Rights in the Emerging Information Infrastructure, Washington, D.C., National Academy Press, 2000. Full on-line text published at http://books.nap.edu/html/digital_dilemma.

B. Patel and J. Crowcroft, *"Ticket based service access for the mobile user,"* Proceedings of Mobicom '97, Budapest, Hungary (1997). Full text available through ACM Digital Library Document Delivery Service at <http://portal.acm.org/citation.cfm?id=262116.262150&coll=ACM&dl=ACM&type=series&idx=SERIES395&part=series&WantType=Proceedings&title=International%20Conference%20on%20Mobile%20Computing%20and%20Networking&CFID=915821&CFTOKEN=26102377#>

M. Stefik, *"Trusted systems,"* Scientific American, pp. 78-81 (March 1997). Published on-line at <http://www.sciam.com/0397issue/0397stefik.html>.

B. Kaliski, *"New Challenges in Embedded Security,"* Consortium for Efficient Embedded Security Symposium on Embedded Security, Security Ownership and Trust Models (July 10, 2001). Published on-line at <http://www.cesstandards.org>.

J. Manferdelli, *"digital Rights Management,"* Consortium for Efficient Embedded Security Symposium on Embedded Security, Security Ownership and Trust Models (July 10, 2001). Published on-line at <http://www.cesstandards.org>.

M. Rotenberg, *"Consumer Implications of Security Applications,"* Consortium for Efficient Embedded Security Symposium on Embedded Security, Security Ownership and Trust Models (July 10, 2001). Published on-line at <http://www.cesstandards.org>.

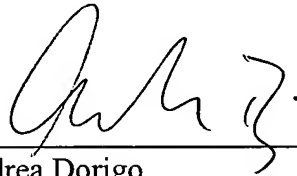
S. Pugh, *"The Need for Embedded Security,"* Consortium for Efficient Embedded Security Symposium on Embedded Security, Security Ownership and Trust Models (July 10, 2001). Published on-line at <http://www.cesstandards.org>.

L. Buttyan and J.-P. Hubaux, "*Accountable Anonymous Access to Services in Mobile Communications Systems*," 1999, Proceedings of the 18th Institute of Electrical and Electronic Engineers Symposium on Reliable Distributed Systems (SRDS).

A PTO-1449 form and a copy of each of the above-listed documents is enclosed.

The Commissioner is hereby authorized to charge payment of any fees associated with this communication or credit any overpayment to Deposit Account No. 02-4377.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Andrea Dorigo', is written over a horizontal line.

Andrea Dorigo
Patent Office Reg. No. 47,532

Agent for Applicants
(212) 408-2523

Enclosures

Serial No.
10/015201

Applicant
Kravitz

Filing Date
October 19, 2001

Group
to be assigned

[illegible][illegible]

		S. W. Smith, E. R. Palmer, and S. Weingart, " <i>Using a High-Performance, Programmable Secure Coprocessor</i> ," February 23-27, 1998, Proceedings, Second International Conference on Financial Cryptography, Anguilla, British West Indies, Springer-Verlag LNCS.
		Martin, K. M., et al., " <i>Secure Billing for Mobile Information Services in UMTS</i> ," May 25-28, 1998, Proceedings of Intelligence and Services in Networks, Antwerp, Belgium.

Date Considered

* Examiner: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT**
(Use several sheets if necessary)

Applicant
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Filing Date
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OTHER DOCUMENTS (including Author, Title Date, Pertinent Pages, Etc.)

Rabin, M. O. "Digitalized Signatures and Public-key Functions as Intractable as Factorization," 1979, Massachusetts Institute of Technology Laboratory for Computer Science Technical Report 212.

Smith, S. W., "Secure coprocessing applications and research issues," August 1996, Los Alamos Unclassified Release LA-UR-96-2805.

Wilhelm, U. G., et al., "On the Problem of Trust in Mobile Agent Systems," March 11-13, 1998, Proceedings of Network and Distributed Systems Security, San Diego, California.

Yee, B. "Using Secure Coprocessors," May 1994, Carnegie Mellon University Report CMU-CS-94-149.

Mori, R., et al., "Superdistribution: the Concept and the Architecture," July 1990, The Transactions of the IEICE, vol. E73, no. 7, Special Issue on Cryptography and Information Security. Full on-line text published on-line at: <http://www.virtualschool.edu/mon/ElectronicProperty/MoriSuperdist.html>.

Blum, M., et al., "Checking the Correctness of Memories," 1994, Algorithmica, 12(2/3), pp. 225-244.

Askwith, B., et al., "Achieving User Privacy in Mobile Networks," December 8-12, 1997, Proceedings of the 13th Annual Computer Security Applications Conference, San Diego, California. Full text available to Institute of Electrical and Electronic Engineers, Inc. Computer Society members with web account, or to others through purchase of individual article, at:

Lim, C. H., et al., "A Key Recovery Attack on Discrete Log-based Schemes Using a Prime Order Subgroup," August 17-21, 1997, Advances in Cryptology: Crypto '97, Santa Barbara, California, B.S. Kaliski, Jr., Ed., Lecture Notes in Computer Science 1294, pp. 249-263, Springer-Verlag.

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"The Digital Dilemma: Intellectual Property in the Information Age," 2000, Committee on Intellectual Property Rights in the Emerging Information Infrastructure, Washington, D.C., National Academy Press. Full on-line text published at http://books.nap.edu/html/digital_dilemma.

Patel, B., et al., "Ticket based service access for the mobile user," 1997, Proceedings of Mobicom '97, Budapest, Hungary. Full text available through ACM Digital Library Document Delivery Service at <http://portal.acm.org/citation.cfm?id=262116.262150&coll=ACM&dl=ACM&type=series&idx=SERIES395&part=series&WantType=Proceedings&title=International%20Conference%20on%20Mobile%20Computing%20and%20Networking&CFID=915821&CFTOKEN=26102377#>

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Rotenberg, M., *"Consumer Implications of Security Applications,"* July 10, 2001, Consortium for Efficient Embedded Security Symposium on Embedded Security, Security Ownership and Trust Models. Published on-line at <http://www.cesstandards.org>.

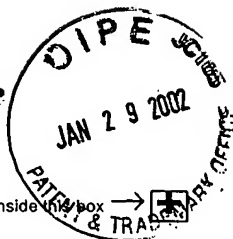
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BAKER BOTTS LLP

0400

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Please type a plus sign (+) inside this box →

**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/015,201
	Filing Date	October 19, 2001
	First Named Inventor	Kravitz
	Group Art Unit	Not Available
	Examiner Name	Not Available
Total Number of Pages in This Submission	Attorney Docket Number	AP33635-067668.0104

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below):
Remarks <input type="checkbox"/>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	BakerBotts LLP 30 Rockefeller Plaza New York, NY 10112	
Signature		Att Name: Andrea Dorigo PTO Reg: 47,532
Date	1-22-02	

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 1-22-02		
Typed or printed name	Andrea Dorigo	
Signature		Date 1-22-02

BAKER BOTTS LLP



FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 0

Complete if Known

Application Number	10/015,201
Filing Date	October 19, 2001
First Named Inventor	Kravitz
Examiner Name	Not Available
Group Art Unit	Not Available
Attorney Docket No.	AP33635-067668.0104

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit
Account
Number

02-4377

Deposit
Account
Name

Baker Botts LLP

- ☒ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status.
See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
740	370	Utility filing fee	
330	165	Design filing fee	
510	255	Plant filing fee	
740	370	Reissue filing fee	
160	80	Provisional filing fee	

SUBTOTAL (1) (\$) 0

2. EXTRA CLAIM FEES

Total Claims - 20 ** = 0 x Fee from below = Fee Paid 0

Independent Claims - 3 ** = 0 x Fee from below = Fee Paid 0

Multiple Dependent x Fee from below = Fee Paid

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description
18	9	Claims in excess of 20
84	42	Independent claims in excess of 3
280	140	Multiple dependent claim, if not paid
84	42	** Reissue independent claims over original patent
18	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	For filing a request for <i>ex parte</i> reexamination	
920*	920*	Requesting publication of SIR prior to Examiner action	
1,840*	1,840*	Requesting publication of SIR after Examiner action	
110	55	Extension for reply within first month	
400	200	Extension for reply within second month	
920	460	Extension for reply within third month	
1,440	720	Extension for reply within fourth month	
1,960	980	Extension for reply within fifth month	
320	160	Notice of Appeal	
320	160	Filing a brief in support of an appeal	
280	140	Request for oral hearing	
1,510	1,510	Petition to institute a public use proceeding	
110	55	Petition to revive - unavoidable	
1,280	640	Petition to revive - unintentional	
1,280	640	Utility issue fee (or reissue)	
460	230	Design issue fee	
620	310	Plant issue fee	
130	130	Petitions to the Commissioner	
50	50	Processing fee under 37 CFR 1.17(q)	
180	180	Submission of Information Disclosure Stmt	
40	40	Recording each patent assignment per property (times number of properties)	
740	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
740	370	For each additional invention to be examined (37 CFR § 1.129(b))	
740	370	Request for Continued Examination (RCE)	
900	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0

SUBMITTED BY

Name (Print/Type)

Andrea Dorigo

Registration No.
(Attorney/Agent)

47,532

Complete (if applicable)

Telephone

212-408-2523

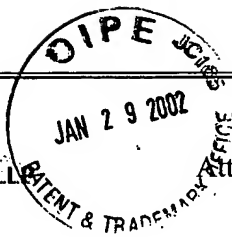
Signature

Date

1-22-02

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Attorney Docket Number: AP33635-067668.0104

Title: SYSTEM AND METHOD FOR MANAGING TRUST BETWEEN CLIENTS AND SERVERS

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